

10/588113

IAP5 Rec'd PCT/PTO 31 JUL 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Osamu MIZUNO et al. : Mail Stop: PCT
Serial No. NEW : Attorney Docket No. 2006_1200A
Filed July 31, 2006 :
OPTICAL HEAD AND OPTICAL DISK :
DEVICE :
[Corresponding to PCT/JP2005/012091
Filed June 30, 2005]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application PCT/_____; and/or
- ☐ each reference previously cited in prior parent application Serial No. _____.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

ATTACHMENT D

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, or

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

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3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☒ an International Search Report (in the English language) submitted herewith,
 - c. ☒ the concise explanation contained in the specification of the present application at page 3,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:

JP 2003-338069 corresponds to US 2003/0021219
WO 2003/055053 corresponds to US 2004/0076089
JP 2000-155979 corresponds to US 6,661,750, US 6,856,584 and US
6,430,137

5. ☒ an International Search Report citing one or more of the references is enclosed.

Respectfully submitted,

Osamu MIZUNO et al.

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July 31, 2006

INFORMATION DISCLOSURE STATEMENT

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: July 31, 2006

ATTY DOCKET NO.
2006_1200ASERIAL NO.
NEW**10/588113**APPLICANT
Osamu MIZUNO et al.**IAP5 Rec'd PCT/PTO 31 JUL 2006**FILING DATE
July 31, 2006

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2003/0021219	1-30-03	Nagai			
	AB	2004/0076089	4-22-04	Kurita et al.			
	AC	6,430,137	8-6-02	Saimi et al.			
	AD	6,661,750	12-9-03	Saimi et al.			
	AE	6,856,584	2-15-05	Saimi et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AF	3505525	12-19-03	Japan			abstract	
	AG	2002-352449	12-6-02	Japan			abstract	
	AH	2003-338069	11-28-03	Japan			abstract	
	AI	10-3687	1-6-98	Japan			abstract	
	AJ	2004-39068	2-5-04	Japan			abstract	
	AK	03/055053	7-3-03	WO			abstract	
	AL	11-37160	2-9-99	Japan			abstract	
	AM	2000-155979	6-6-00	Japan			abstract	
	AN	7-57276	3-3-95	Japan			abstract	
	AO	2004-77705	3-11-04	Japan			abstract	

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP	
	AQ	

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include cop. this form with next communication to applicant.